

MASS. J6. 2: Ex 31 / no. 5



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**EXECUTIVE SUMMARY OF RESEARCH FINDINGS
FROM THE MASSACHUSETTS
RISK/NEED CLASSIFICATION SYSTEM
REPORT #5**

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Preface

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EXECUTIVE SUMMARY OF RESEARCH FINDINGS FROM THE

RISK/NEED CLASSIFICATION SYSTEM REPORT #5

I. INTRODUCTION

The Risk/Need Classification System is a method of differential supervision used by the probation officers in the Superior, District, Boston Municipal and Juvenile Court Departments of the Commonwealth of Massachusetts. Through Risk/Need Classification, probationers risk of committing another crime while in the community can be assessed and the degree of sanctions figured accordingly. High risk offenders are required to have more frequent contact with the probation officer than people whose characteristics put them in a lower risk probability group.

Given the fact that a major mandate of probation is to protect the public, while also meeting offenders' needs and serving the court, the Massachusetts Risk/Need Classification System was designed to adopt professional procedures for both control of and assistance to the offender under community supervision. Promulgated statewide on April 1, 1982 to assure consistent procedures from court to court across the Commonwealth, the Risk/Need System was tested for reliability and validity on a pilot basis in December 1981 and it was found to be the most accurate risk prediction instrument used in probation in the United States.

Now using the experience of 83 adult and 57 juvenile probation offices across the state, the current research study aimed to do the following:

(1) Revalidate the Risk/Need form which was promulgated in April 1982, revised from the findings of the December 1981 research;

(2) Profile Offender Characteristics;

(3) Analyze surrender practices and supervision strategies and their relationship to recidivism;

(4) Recommend future directions for probation, based on the findings of this research.

These issues relate to recent public policy initiatives taken by the judiciary, the legislature and the Governor's Statewide Anti-Crime Council in dealing with correctional policies.

II. BACKGROUND

The Risk/Need Classification System was an outgrowth of a number of criminal justice phenomena of the 1970's; two of the principal phenomena were:

(1) The Massachusetts Court Reorganization Act of 1978, which created a unified Trial Court and mandated that the Commissioner of Probation develop standardized ways of supervising probation offenders;

(2) The Law Enforcement Assistance Administration, which through its focus on crime control, provided funds for the developmental stages of this project.

The Risk/Need Classification System was pilot tested from 1979 through 1981, using nine courts across the state for field testing. While the earliest versions of the classification instrument were largely focused on a treatment approach (by assessing offender's needs and strengths), in 1980 the first Risk scale was introduced on a pilot basis.

Recognizing the need to validate probation classification systems, in 1980, the National Institute of Corrections funded a research project to thoroughly analyze data generated from the nine Massachusetts probation offices which had participated in the pilot tests. The results of that study were published as "Risk/Need Executive Summary #4", on December 31, 1981, by Cochran, Brown & Kazarian.

Drawing from the findings of the NIC research, the Massachusetts classification form underwent minor revisions and was promulgated for statewide application on April 1, 1982. An extensive statewide training effort was developed to support implementation of the new standard. For six months after Risk/Need was adopted statewide, all classification forms were sent to the Office of the Commissioner of Probation in Boston where they were reviewed for compliance with the Supervision Standards. Any classification forms found to have missing data, inaccurate codes or otherwise not in compliance with the Standards, were sent back to the local probation office for correction.

III. METHODOLOGY

The objective of this empirically-based research project was to revalidate the Risk/Need Classification System implemented statewide in April 1982. Testing the relationship between various offender characteristics and recidivism, this research also measured the impact of supervision practices on recidivism.

A. The Sample

The sample consisted of all adults and juveniles who were placed under Risk/Need supervision in the Commonwealth of Massachusetts during the month of September 1982; this represented a total of 1,963 people.

Although there were 1,963 people in the sample, that total will not always be represented in the statistical tables to be found within this report. Missing data, non-applicable data, bogus codes, and cases which were still open at the time of analysis are some of the reasons why the totals will vary from one table to another.

B. Variables

The following variables were analyzed in this research study:

General Identifying Characteristics

- | | |
|---------------------------|-------------------------|
| 1. Age at Instant Offense | 5. Probation Officer |
| 2. Sex | 6. Offense(s) |
| 3. Court | 7. Supervision Dates |
| 4. Date of Assessment | 8. Level of Supervision |

Offender Risk Characteristics

1. Prior Adult or Juvenile record during past 5 years
2. Number of prior periods of probation supervision during past 5 years
3. Age at first offense
4. Number of Residence Changes during past 12 months
5. Time employed or in school during past 12 months
6. Family Structure
7. Alcohol/Drug Usage Problems
8. Attitude
9. Total Risk Score

Offender Need Characteristics

- | | |
|-------------------|-------------------------|
| 1. Education | 6. Other Drug Usage |
| 2. Employment | 7. Counseling |
| 3. Marital/Family | 8. Financial Management |
| 4. Social | 9. Motivation/Ability |
| 5. Alcohol | |

Surrender Data

1. Surrender for a New Criminal Charge
2. Failure to appear at surrender for new criminal charge
3. Incarceration due to surrender for new criminal charge
4. Modification of conditions of probation due to new criminal charge
5. Technical Violation
6. Date of Technical Violation
7. Nature of Technical Violation
8. Failure to appear at surrender on a technical violation
9. Modification of conditions of probation due to technical violations

Criminal Record Information

1. Actual date of arraignment
2. Age at first offense (actual)
3. Number of prior offenses (actual)
4. Number of prior periods of probation supervision (actual)
5. Subsequent offenses
6. Date of arraignment-subsequent offense
7. Number of jail days not served
8. Number of offenses, 12 months prior to being placed on probation
9. Number of offenses during supervision
10. Consistency of data reported by probation officer compared to data on criminal records

C. Source of Data

All the data listed above were available from one of three sources:

1. **Risk/Need Assessment Instrument:** routinely submitted to the Office of the Commissioner of Probation in Boston for all new Risk/Need cases, at the onset of the probationary period.

2. **Probation Central File:** All criminal/delinquency records in Massachusetts are centrally filed in the Office of the Commissioner of Probation "Probation Central File". This data base is unique nationally because 6 million records (including arraignment dates, offenses, dispositions and other pertinent criminal/delinquency data) dating back to 1924 are centrally filed in Boston.

3. **Individual Case Folders:** Supervision Standard promulgated by the Commissioner of Probation require that certain standard information and forms be kept for all probation offenders. Case folders, therefore, include such forms as police reports, investigation summaries, conditions of probation supervision, etc. Sanctioning data, such as surrender information and modification of the original conditions, would be documented in detail in these standard forms in the individual case folders.

Data for this study comes from courts across the state, representing diverse court sizes, supervision approaches and geographical areas.

Table 1a: Distribution of Risk/Need Cases by Court: Adults in District/BMC

<u>Court Name</u>	<u>Freq</u>	<u>Court Name</u>	<u>Freq</u>	<u>Court Name</u>	<u>Freq</u>
Boston	44	North Adams	12	Waltham	24
Roxbury	36	Grt. Barrington	2	Cambridge	16
South Boston	13	Adams	2	Woburn	25
Charlestown	9	Taunton	15	Dedham	24
East Boston	21	Fall River	20	Stoughton	12
West Roxbury	16	New Bedford	43	Quincy	73
Dorchester	59	Attleboro	3	Wrentham	14
Brighton	35	Edgartown	1	Hingham	16
Brookline	3	Salem	38	Plymouth	15
Somerville	33	Amesbury	5	Wareham	12
Lowell	13	Haverhill	15	Leominster	11
Newton	6	Gloucester	4	Worcester	67
Lynn	33	Ipswich	4	Gardner	8
Chelsea	32	Greenfield	14	Dudley	13
Brockton	38	Orange	2	Uxbridge	3
Fitchburg	11	Palmer	28	Milford	9
Holyoke	39	Westfield	7	Westborough	24
Lawrence	28	Northampton	9	Clinton	6
Chicopee	2	Ware	8	Spencer	15
Marlborough	15	Concord	10	Winchendon	3
Newburyport	6	Ayer	14	Peabody	5
Springfield	74	Framingham	8	Natick	4
Barnstable	35	Malden	20	Nantucket	3
Orleans	8				
Pittsfield	20				
				TOTAL	1315

Table 1.b: Distribution of Risk/Need Cases by Court: Adults in Superior Courts

<u>Court Name</u>	<u>Freq</u>	<u>Court Name</u>	<u>Freq</u>
Barnstable	5	Hampshire	6
Bristol	38	Middlesex	27
Berkshire	1	Norfolk	10
Essex	9	Plymouth	14
Franklin	1	Suffolk	23
Hampden	25	Worcester	29
		TOTAL	188

Table 1.c: Distribution of Risk/Need Cases by Court: Juveniles

<u>Court Name</u>	<u>Freq</u>	<u>Court Name</u>	<u>Freq</u>
Roxbury	8	Gloucester	1
South Boston	1	Greenfield	6
East Boston	3	Palmer	13
Dorchester	15	Concord	11
Brookline	2	Ayer	7
Somerville	5	Framingham	21
Lowell	12	Malden	15
Newton	3	Waltham	3
Lynn	17	Cambridge	4
Chelsea	2	Woburn	14
Brockton	16	Dedham	11
Fitchburg	12	Stoughton	2
Holyoke	1	Quincy	15
Lawrence	20	Wrentham	10
Lee	1	Hingham	13
Marlborough	2	Gardner	12
Newburyport	2	Wareham	8
Springfield	23	Leominster	9
Barnstable	2	Worcester	25
Orleans	3	Westborough	5
Pittsfield	3	Dudley	1
North Adams	4	Uxbridge	1
Grt. Barrington	1	Westborough	12
Taunton	2	Spencer	4
Fall River	4	Winchendon	3
New Bedford	25	Boston Juvenile	23
Attleboro	3	Peabody	2
Salem	6	Natick	5
Haverhill	3		
		TOTAL	457

D. Method of Gathering Data

Variables on the Risk/Need classification forms and criminal history records in the Probation Central File were centrally gathered and coded at the Office of the Commissioner of Probation, since all those records and forms are centrally located in Boston.

Data in the Individual Case Folders were gathered via a simple questionnaire, mailed to local probation offices after the termination date for individual cases. Therefore, data on surrender practices are only available on those persons whose cases had terminated during the 18 months of this study.

Recidivism data were available in detail from the Probation Central File records.

E. Definitions

In this study, recidivism was defined as any subsequent offense within 18 months of being placed under probation officer supervision for the target offense (September 1982-March 1984).

Surrender was defined as any court proceeding in which a case is brought forward for judicial review because the offender violated the terms of supervision.

Shifts in need/strength variables from initial assessment to termination are defined as the movement positive or negative along the -2 to +2 continuum. If an offender's condition improved, that was called a positive shift; if it worsened, it was a negative shift. With a four point scale, the greatest possible change was a shift of +-3 points; this was termed a significant (improvement/recession). A moderate shifting was +-2 points. A slight shifting was +-1 point on the scale. There also were cases where there was no change between the initial assessment and termination scores.

F. Tests of Reliability

Inaccurate coding by probation officers could over or underestimate the final risk scores, and thereby increase the incidence of false negatives (people predicted to be low risk, who subsequently commit another crime) or false positives (people who do not commit another crime and are supervised at too high a level) errors. To assure that the data used in this research study were reliable, a four-stage test of reliability was conducted:

(1) Inherent in the supervision guidelines is a requirement that the initial assessment be reviewed by the Assistant Chief Probation Officer prior to implementation of the supervision plan. Each case, therefore, undergoes a thorough monitoring of the classification assessments and supervision plan of the line probation officer(s); the "ACPO" has to formally review and then sign off on each case.

(2) Once the Risk/Need Classification forms were received at the Office of the Commissioner of Probation in Boston, they were reviewed for completeness and accuracy of coding. Any classification forms which had missing data or were miscoded were returned to the court for corrections to be made and the form resubmitted.

(3) Another thorough review of the data was conducted at the time the data were being coded. Where data from the local probation office was found to be inconsistent with data from the Probation Central File's criminal records, or were internally inconsistent, the most correct data were entered on the coding form. The cases with consistency errors were duly noted as having failed to meet the test of internal consistency.

(4) Compliance with the Supervision Standard promulgated statewide on April 1, 1982 was tested by analyzing the dates of assessment in relation to recidivism. In the "Supervision Process" section of this report, the findings of this analysis and the implications of the findings are presented in detail.

G. Tests of Statistical Significance

To assess the significance of the statistics generated by these data, the Chi Square statistic was computed. Chi Square compares the expected frequencies to the observed frequencies, measuring the difference. By producing the Chi Square statistic, the "goodness of fit" test measures whether or not the difference is due to chance.

For the purposes of this research, Chi Square significance scores of 0.01 and below were considered statistically significant. While the standard criteria for the statistical significance is 0.05, the findings of these research could have an important impact on how offenders are supervised in the community. For that reason, the more stringent 0.01 level of significance was required.

IV. EVALUATION OF FINDINGS

A. PROFILE OF OFFENDER CHARACTERISTICS

A.1. Recidivism by Gender

The data were first analyzed to profile the Massachusetts Risk/Need Population. As the data in Table A.1 indicate, about 87% of the probationers were male while 13% were female. Recidivism rates for males were somewhat higher than for females (36% for males compared to 28% for females.)

Table A.1: Recidivism by Gender

<u>Gender</u>	<u>No Recidivists</u>	<u>Recidivists</u>	<u>Row Total</u>
MALES	1058 (64.2%)	591 (35.8%)	1649 (86.5%)
FEMALES	184 (71.6%)	73 (28.4%)	257 (13.5%)
COLUMN TOTAL	1242 (65.2%)	664 (34.8%)	1906 (100.0%)

A.2. Term of Supervision by Court Level

According to the data in Table A.2, the average person on probation in Massachusetts under Risk/Need Classification is under supervision for nearly 17 months. The average term of supervision is 11 months for juveniles, compared to nearly 17 months for adults in District and Boston Municipal Courts and over 29 months in the Superior Court Department.

Table A.2: Average Term of Supervision by Court Level

<u>Court Level</u>	<u>Average Number of Months</u>
Superior	29.6 months
District/BMC	16.9 months
Juvenile	11.1 months
Overall	16.8 months

A.3 Jail Days Not Served

According to the data in Table A.3, 38% of the people in the study received a suspended jail sentence -- ranging from 5 days to 20 years. Probation supervision for those 668 people represented a cost savings for Massachusetts residents, since the Commonwealth did not have to find bed space in its already overcrowded correctional institutions.

Table A.3: Jail Days Not Served

<u>Potential Term of Incarceration</u>	<u># of Cases</u>	<u>% of Cases</u>	<u>Cumulative Percent</u>
0 Days	1089	62.0%	62.0%
Up to 1 Month	86	4.9%	66.9%
1 - 3	121	6.9%	73.8%
3 - 6	157	8.9%	82.7%
6 - 12	168	9.6%	92.3%
12 - 24	84	4.8%	97.1%
24 - 36	25	1.4%	98.5%
36 - 240	<u>27</u>	<u>1.5%</u>	100.0%
TOTAL	1757	100.0%	

A.4 Recidivism by Age

Age has consistently been linked to crime and in these findings, the data indicate that the median age for people under probation supervision is 20 years old. As the data in Table A.4a - A.4c show, people between 10-29 years of age account for 80.5% of the Risk/Need cases compared to 35.7% of the state's population being in that age group. In addition, the 10-29 year old age group accounts for nearly 87% of the recidivists.

Table A.4a. Age Distribution of Massachusetts Population vs. Risk/Need Cases

<u>Age Group</u>	<u>Percent of Mass. 1980 Population in Age Group</u>	<u>Percent of Risk/Need in Age Group</u>	<u># of Probation Recidivists in Age Group</u>	<u>% of Probation Recidivists in Age Group</u>
Under 5 yrs.	5.9%	0%	0	0%
5-9 years	6.5%	0.2%	1	33.3%
10-14 years	8.0%	8.1%	43	29.1%
15-16 years	3.7%	14.0%	74	28.9%
17-19 years	5.9%	20.5%	167	44.7%
20-24 years	9.6%	24.0%	172	39.2%
25-29 years	8.5%	13.9%	98	38.4%
30-34 years	7.8%	7.7%	43	30.5%
35-39 years	6.1%	4.9%	26	29.2%
40-44 years	4.9%	2.8%	6	11.8%
45+ years	33.1%	3.9%	9	12.5%
	100.0%	100.0%	639	35.0%

TABLE A.4b

PERCENT OF RISK/NEED
IN AGE GROUP

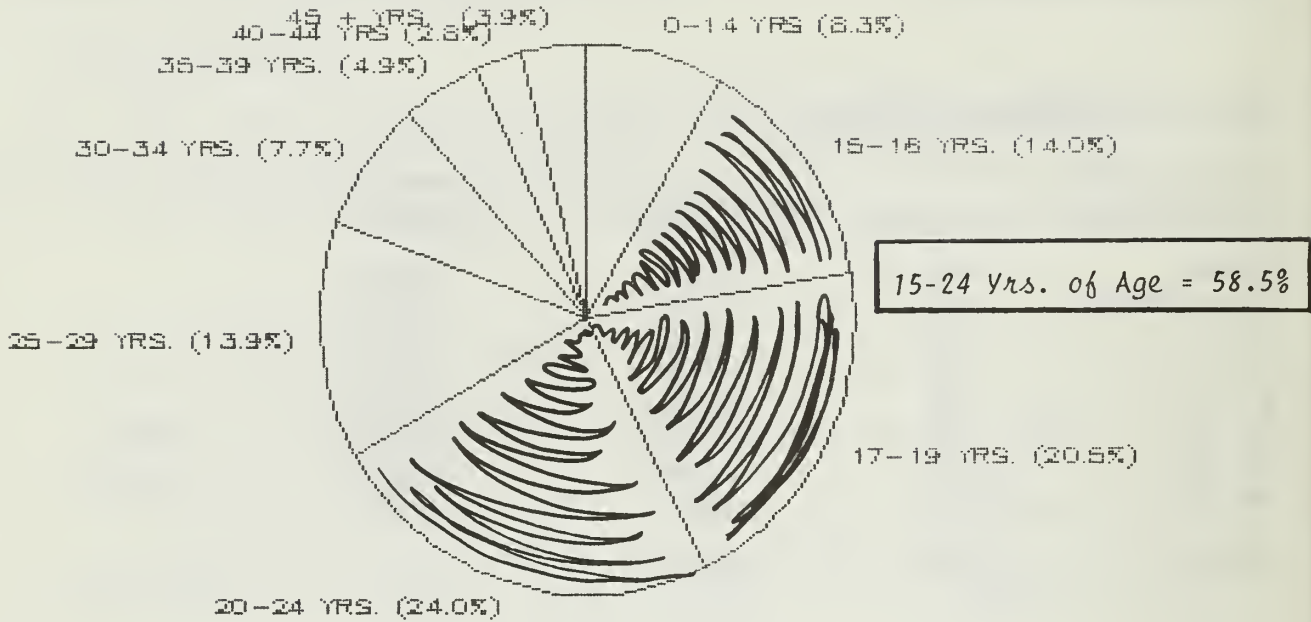
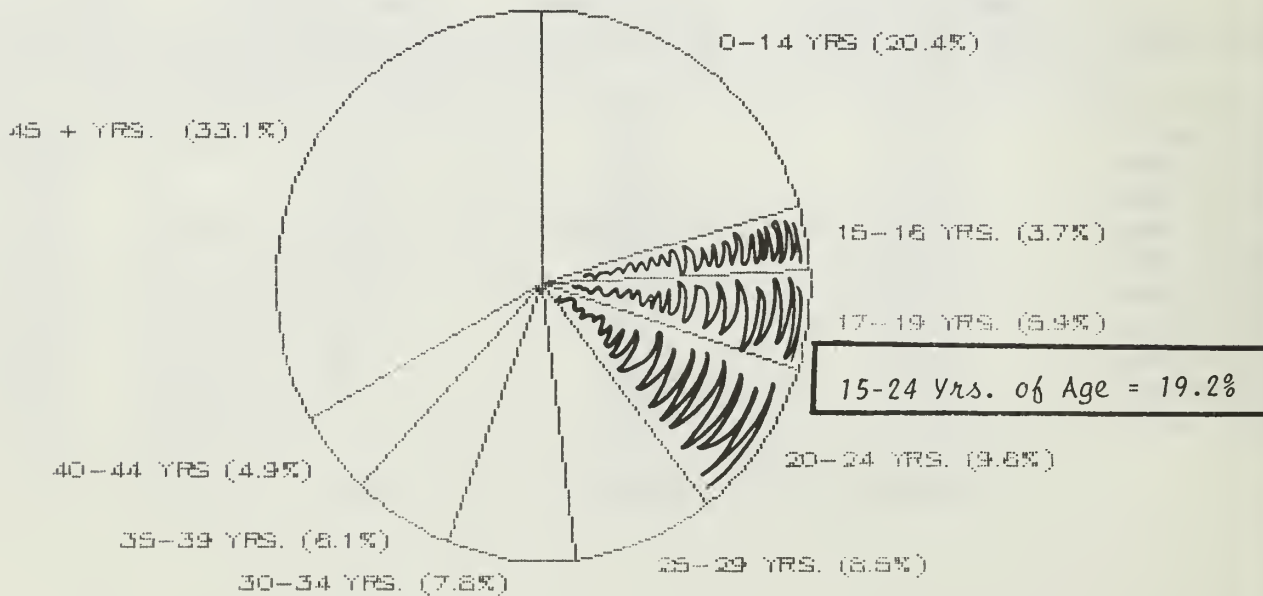


TABLE A.4c

PERCENT OF MASS. 1980 POPULATION
IN AGE GROUP



A.5. Offense Categories by Court Level

Inasmuch as one would assume that the type of offenses would vary by court level, the offense category data were analyzed for Superior, District/Boston Municipal and Juvenile Court levels.

As the data in Table A.5 show, 29% of those in Superior Court compared to less than 18% in the District/Boston Municipal Court Department and about 13% of the juveniles were under probation supervision for a crime against the person. Conversely, juveniles were most often under probation supervision for a property crime, accounting for 58% of the juvenile cases in the study compared to 38% of those in the District/Boston Municipal Courts and 37% of those in the Superior Court.

Table A.5: Offense Category by Court Level

<u>Offense Category</u>	<u>Superior</u>	<u>District/BMC</u>	<u>Juvenile</u>
Crime Ag. Persons	29.0%	17.6%	12.9%
Crime Ag. Property	37.1%	38.1%	58.4%
Major Motor Vehicle	0%	23.2%	5.9%
Public Order	1.6%	5.6%	10.3%
Controlled Substance	30.1%	12.4%	8.3%
Other Major Offenses	1.1%	0%	0%
Other Minor Offenses	1.1%	3.1%	4.2%
TOTAL	100.0%	100.0%	100.0%

A.6 Recidivism by Offense

To further profile the person under Risk/Need Classification in Massachusetts, the recidivism data were analyzed by Offense categories. As the data in Table A.6a illustrate, public order crimes reflected the highest rate of recidivism (39.7%) while controlled substance violations showed the lowest (29.9%).

Table A.6a: Recidivism by Offense Categories

<u>Offense Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Against Persons	337	65.6%	34.4%
Against Property	810	63.5%	36.5%
Major Motor Vehicle	329	66.6%	33.4%
Public Order	121	60.3%	39.7%
Controlled Substance	244	70.1%	29.9%
Other Major Offenses	2	100.0%	0.0%
Other Minor Offenses	61	67.2%	32.8%
TOTAL	1904	65.2%	34.8%

A.6b Reduction in Frequency of Offenses

Looking at recidivism from a slightly different perspective, the data were analyzed to see if there was a reduction in the frequency of certain specific offenses. As is evident in Table A.6b, recidivism rate for drunk driving was greater than recidivism for fraud, rape, or vandalism.

One original hypothesis of this study was that probation intervention would decrease the frequency of offenses, and the data in Table A.6b bear this out. While 1,960 offenders in the study originally committed 3,007 offenses (1.53 offenses each), following these offenders for 18 months produced a total of 1,356 new offenses, or an average of 0.69 offenses for each offender. This represents a 55% reduction in the volume of crime. Therefore, probation supervision appears to slow down the rate of new crimes for certain offenders; some offenses appear to be more amenable to this phenomenon than others.

Table A.6b: Reduction in Frequency of Offenses

<u>Offense</u>	<u># On Probation</u>	<u># Recid</u>	<u>Reduction/Increase</u>
Assault	126	54	-57%
Assault Simple	204	74	-64%
Arson	20	5	-75%
Auto Theft	44	30	-32%
Burglary	413	127	-69%
Disorderly Conduct	107	108	+0.9%
Drug Offenses	374	110	-71%
Family Abuse	9	34	+278%
Forgery	36	12	-67%
Fraud	40	2	-95%
Gambling/Vice	15	21	+40%
Kidnapping	3	1	-67%
Larceny	495	180	-64%
Liquor Violation	28	53	+89%
Major MV	244	179	-27%
Murder/Mansl	3	3	-0-
DUIL	222	166	-25%
Drugged Driv	2	0	--
Rape	47	9	-81%
Robbery	37	28	-24%
Sex Offenses	37	4	-89%
Stolen Property	136	40	-71%
Vandalism	187	49	-74%
Weapons	48	14	-71%
Other Major	8	3	-63%
Other Minor	<u>122</u>	<u>50</u>	<u>-59%</u>
TOTAL	3007	1356	-55%

While most specific offenses decreased substantially, liquor law violations and family abuse increased in frequency. Because liquor-related crimes were high public priorities at the time, it is not surprising that liquor law violations increased. The increase in family abuse may be a result of increased surveillance leading to a higher probability that domestic violence would be detected or reported.

A.7 Recidivism by Level of Supervision

A critical assumption in the Risk/Need Classification System is that the high risk offenders (i.e. those under Maximum supervision) pose a greater probability of recidivism than those being supervised in the other two categories. Therefore, this study tested the hypothesis that recidivism will not be equal across all risk scores and the lower the risk score, the higher the rate of recidivism.

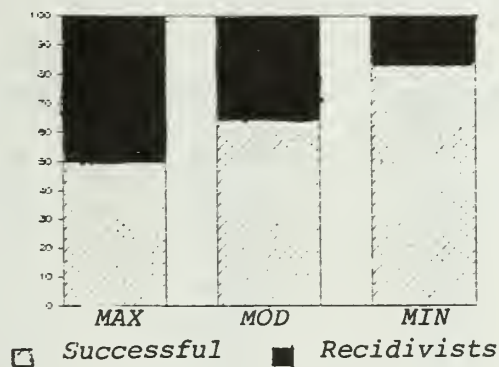
NOTE: Risk assessment scores range from a numerical total of "2" to "31"; individuals with low scores are considered high risk offenders, while people with high scores are considered low risks in terms of subsequent criminal behavior.

Clearly, the data in Table A.7 support the hypothesis that higher risk offenders have a higher rate of recidivism than those with lower risk on the risk scale. Half the people classified as "Maximum" risk were subsequently recidivists, compared to less than 36% of those classified as "Moderate" and 17% of those classified as "Minimum".

Table A.7a: Recidivism by Level of Supervision

Level of Supervision	# Cases	% Cases	Percent Successful	Percent Recidivists
Maximum	484	25.4%	50.0%	50.0%
Moderate	962	50.5%	64.3%	35.7%
Minimum	458	24.0%	83.0%	17.0%
TOTAL	1904	99.9%	65.2%	34.8%

Table A.7b: Recidivism x Level of Supervision



A.8 Level of Supervision by Court Level

Of interest is the range of supervision levels in each court. According to the data in Table A.8, 14% of the juveniles, compared to over 28% of the adults were classified as needing supervision in the "Maximum" level. Because prior record and prior periods of probation supervision are factors in the weighted Risk scale, adults predictably score lower than juveniles in these two factors and thus raise their level of supervision. Also, as was documented in Table A.5, offenders in Superior Court are on Probation for violent crimes more often than District/BMC and Juvenile probationers.

Table A.8: Level of Supervision by Court Level

<u>Level of Supervision</u>	<u>District</u>	<u>Superior</u>	<u>Juvenile</u>
Maximum	383 (29.2%)	44 (23.4%)	64 (14.0%)
Moderate	632 (48.2%)	93 (49.5%)	262 (57.5%)
Minimum	295 (22.5%)	51 (27.1%)	130 (28.5%)
TOTAL	1310 (100.0%)	188 (100.0%)	456 (100.0%)

A.9 Time to Recidivism

In earlier research, we found that early intervention is critical since recidivism is most likely to occur early during the term of supervision. According to the data in Table A.9, over 51% of those in this 1982 study group who recidivated did so within the first six months; nearly 30% did so within the first three months.

Table A.9a: Time to Recidivism

<u># of Months to Recidivism</u>	<u># Cases</u>	<u>% of Total</u>	<u>Cumulative Percent</u>
1	79	10.3%	10.3%
2	93	12.1%	22.4%
3	55	7.2%	29.6%
4	61	8.0%	37.5%
5	66	8.6%	46.2%
6	38	5.0%	51.1%
7	44	5.7%	56.8%
8	46	6.0%	62.8%
9	34	4.4%	67.3%
10	31	4.0%	71.3%
11	37	4.8%	76.1%
12	36	4.7%	80.8%
13	33	4.3%	85.1%
14	26	3.4%	88.5%
15	27	3.5%	92.0%
16	25	3.3%	95.3%
17	26	3.4%	98.7%
18	10	1.3%	100.0%

Looking at this data by court level, there is little difference in the average time to recidivism.

Table A.9c: Average Time to Recidivism by Court Level

<u>Court Level</u>	<u>Average Time to Recidivism (Number of Months)</u>
Superior	7.6 Months
District/BMC	7.1 Months
Juvenile	7.6 Months

B. RISK CHARACTERISTICS

The data were analyzed to assess the relationship between each of the offender characteristics on the Risk scale and recidivism while under probation officer supervision.

B.1. Recidivism by Prior Record

The most notable finding here is that over 52% of those with three or more prior offenses in the last 5 years were recidivists during supervision. This compares to less than 19% of those with no prior offenses.

Table B.1a: Recidivism by Prior Record in Last 5 Years

<u># of Priors</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
0	595	81.2%	18.8%
1	353	72.5%	27.5%
2	251	66.1%	33.9%
3+	708	47.6%	52.4%

Keep in mind that the population with 3 or more prior offenses accounted for 37% of the total. Of those with 3 or more previous crimes, 54.2% had 3-6 priors, 23.9% had 7-10 priors, 17.9% had 11-20, 2.9% had 21-30 priors and 1.1% had between 31-53 prior crimes.

Analyzing the data on prior record from a shorter time frame (offense within last 12 months), it is evident that a recent history of previous crimes is even more strongly related to recidivism. While less than 28% of those with no previous crime within the last 12 months were subsequently recidivists, this compared to nearly 45% of those with 1-2 offenses within the last 12 months and 74% of those with 3-5 offenses in the last year.

Table B.1b: Recidivism by Prior Record Within 12 Months

<u># of Priors</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
0	1198	72.2%	27.8%
1 - 2	523	55.4%	44.6%
3 - 5	81	25.9%	74.1%
6 - 9	6	0	100.0%
TOTAL	1808	65.0%	35.0%

B.2. Recidivism by Prior Periods of Probation Supervision

Taking a look at prior record from a slightly different angle, the number of prior periods of probation supervision were analyzed in relation to recidivism. As the data in Table B.2 illustrates, these findings closely parallel the significance of prior record as a predictor of recidivism while under probation supervision. Nearly 53% of those who had been under probation supervision three or more times previously were recidivists in this study, compared to less than 25% of those who had never been on probation before.

Table B.2: Recidivism by Prior Terms of Probation Supervision

<u># Prior Probations</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
0	972	75.4%	24.6%
1	491	61.1%	38.9%
2+	443	47.2%	52.8%

As was the case with the data on "Prior Record", the table here does not reflect the full range of scores in this category. Nine people in the study had been under probation supervision 10 or more times previously, and 1 person had been on probation 16 times before the offense under review for this study.

B.3. Recidivism by Age at First Offense

The assumption here was that the younger a person is at the time of his/her first offense, the higher the rate of recidivism. The most significant finding is that 41% of those whose first offense was at age 16 or younger were recidivists in this study, compared to less than 18% of those whose first offense was age 24 or older.

Among those who committed their first offense at age 12 or younger, the recidivism rate was nearly 53%. Clearly, the younger a person is at the time of their first offense, the greater the probability that the person will recidivate.

Table B.3: Recidivism by Age at 1st Offense

<u>Age at 1st Offense</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
16 yrs. or younger	941	59.0%	41.0%
17-19 years	473	65.1%	34.9%
20-23 years	150	69.8%	30.2%
24 years or older	276	82.6%	17.4%

B.4. Recidivism by Family Structure

The strength of family ties was also examined in relation to recidivism and the assumption was that the weaker a person's family ties, the higher the rate of recidivism.

According to the data in Table B.4, people who have no family ties had a recidivism rate of nearly 41%, compared to a 28% recidivism rate for people who are responsible for supporting their children and therefore had strong family ties.

Note that nearly 23% of the study subjects reside in a one-parent home; these findings suggest that these people may already be "at risk" and particularly for juveniles, one parent may not have the time or resources to offer the necessary support and supervision.

Table B.4: Recidivism by Family Structure

<u>Family Structure</u>	<u># Cases</u>	<u>% of Total</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
No Family Ties	189	9.9%	59.3%	40.7%
Resides in One Parent Home	429	22.5%	62.9%	37.1%
Parent Not Supporting Children	96	5.0%	68.8%	31.3%
Single with Strong Family Ties; or Married, No Kids	345	18.1%	64.9%	35.1%
Resides in Two Parent Home	593	31.1%	65.3%	34.7%
Parent Supporting Children	254	13.3%	72.0%	28.0%
	1906	100.0%	65.2%	34.8%

B.5. Recidivism by Number of Residence Changes in Last 12 Months

Another measure of how much "at risk" a person is includes how transient he/she is; that is, how often they move their place of residence. With that in mind, the assumption was that the more a person moves his/her place of residence in a year, the higher the rate of recidivism.

Table B.5: Recidivism by Number of Residence Changes in Last 12 Months

<u>Number of Residence Changes</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
0	1206	67.7%	32.3%
1	403	67.5%	32.5%
2+	277	50.2%	49.8%

As was predicted, the data in Table B.5 show that people who move two or more times in a 12-month period have a nearly 50% rate of recidivism compared to less than 33% for those who did not move at all or moved only once in the previous year. Moving twice within one year would probably be symptomatic of financial, employment or family problems.

B.6. Recidivism by Employment (Adults); Recidivism by Education (Juveniles)

The underlying assumptions here are that the less time a person is working or attending school, the higher the rate of recidivism. In analyzing this variable regarding "free" time, the data were broken down by adults compared to juveniles, since adults are generally in the employment market while juveniles would generally be attending school. Where these institutional supports break down, one would expect the concomitant free time to lend itself to further crime.

Table B.6a: Recidivism by Employment (Adults, Superior, District & BMC)

<u>Months Employed</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
9 Mo. or more	671 (45.9%)	66.9%	33.1%
7-8 months	120 (8.2%)	60.8%	39.2%
5-6 months	120 (8.2%)	58.3%	41.7%
3-4 months	110 (7.5%)	60.9%	39.1%
2 Mo. or less	442 (30.2%)	60.2%	39.8%
TOTAL	1463 (100.0%)	63.2%	36.8%

Since those employed less than 9 months out of the previous 12 months underwent considerable weeks of unemployment, there is a marked difference in recidivism when those working 9 months or more were compared to those working 9 months or less. Anyone working less than 9 months would be considered marginally employed and as the data in Table B.6a illustrate, over 54% of the adult offenders fell into that category. This is highly significant, since the statewide unemployment rate in September, 1982 was 7.4%.

Looking at this same variable from the standpoint of juveniles, the findings are less conclusive but generally in the predicted direction. In prior research studies, the average absenteeism rate from various school districts across the state was from 1.5 days per year in a number of wealthy suburbs to 19 days in our large urban schools. With this in mind, the recidivism rate for those beyond the outer limits of absenteeism (21+ days absent per year) is clearly higher than those juveniles who were absent less than the average in the urban schools.

Table B.6b: Recidivism by Education (Juveniles)

<u>Days Absent From School</u>	<u># Cases</u>	<u>% of Total</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
10 days or less	208	47.6%	75.5%	24.5%
11-15 days	49	11.2%	69.4%	30.6%
16-20 days	47	10.8%	76.6%	23.4%
21-25 days	19	4.3%	52.6%	47.4%
26 or more days absent	114	26.1%	66.7%	33.3%
	437	100.0%	71.6%	28.4%

B.7. Recidivism by Substance Abuse

Of considerable interest is the relationship between substance abuse (alcohol and/or drugs) and crime. Therefore the following assumption was tested: the greater a person's frequency of abuse of alcohol or other drugs, the higher the rate of recidivism.

As is evident in Table B.7, people who have no identified substance abuse problem have a lesser probability of recidivism than people with current or prior problems. Of particular concern is the fact that over 50% of the study subjects had a current or prior alcohol or drug problem.

Table B.7: Recidivism by Substance Abuse

<u>Alcohol/Drugs</u>	<u># Cases</u>	<u>% of Total</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Frequent Abuse	126	6.6%	61.1%	38.9%
In Treatment	184	9.7%	59.2%	40.8%
Occasional Abuse	401	21.1%	59.6%	40.4%
Prior Problem	245	12.9%	59.2%	40.8%
No Problem	948	49.8%	70.8%	29.2%

B.8. Recidivism by Attitude

While the prior variables on the Risk scale largely measure objective data, of concern is one subjective measure: the offender's motivation to change his/her behavior.

As is apparent in Table B.8, people who are motivated and accept responsibility for their action have a much lower rate of recidivism than people who are dependent or unwilling to accept responsibility.

Table B.8: Recidivism by Attitude

<u>Attitude</u>	<u># Cases</u>	<u>% of Total</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Rationalizes negative behavior; not motivated to change	109	5.7%	60.6%	39.4%
Dependent or unwilling to accept responsibility	294	15.4%	51.7%	48.3%
Motivated to change; receptive to assistance	934	49.1%	62.7%	37.3%
Motivated; well adjusted; accepts responsibilities for actions	566	29.7%	77.0%	23.0%

B.9 Recidivism by Risk Score

The previous tables have examined the relationship between variables measuring probationers' risk to the community. As might be expected, the numerical total on the Risk scale as a whole was also an important prediction tool regarding recidivism. Since the numerical total is a reflection of the strength of the coding of the eight individual risk variables, one would expect the numerical total to be significant and the data indicate this to be the case.

The data in Table B.9 show the recidivism rate by individual numerical score:

Table B.9a: Recidivism by Total Risk Score

Total Score	Non-Recidivists		Recidivists		Total	
	#	%	#	%	#	%
2	2	50.0%	2	50.0%	4	100.0%
3	3	50.0%	3	50.0%	6	100.0%
4	4	36.4%	7	63.6%	11	100.0%
5	2	33.3%	4	66.7%	6	100.0%
6	12	66.7%	6	33.3%	18	100.0%
7	10	52.6%	9	47.4%	19	100.0%
8	15	36.6%	26	63.4%	41	100.0%
9	15	42.9%	20	57.1%	35	100.0%
10	26	47.3%	29	52.7%	55	100.0%
11	24	49.0%	25	51.0%	59	100.0%
12	43	58.1%	31	41.9%	74	100.0%
13	46	53.5%	40	46.5%	86	100.0%
14	40	48.8%	42	51.2%	82	100.0%
15	56	50.0%	56	50.0%	112	100.0%
16	60	55.0%	49	45.0%	109	100.0%
17	71	61.7%	44	38.3%	115	100.0%
18	69	64.5%	38	35.5%	107	100.0%
19	75	63.6%	43	36.4%	118	100.0%
20	86	72.3%	33	27.7%	119	100.0%
21	69	65.7%	36	34.3%	105	100.0%
22	75	75.0%	25	25.0%	100	100.0%
23	70	76.9%	21	23.1%	91	100.0%
24	80	74.8%	27	25.2%	107	100.0%
25	72	82.8%	15	17.2%	87	100.0%
26	57	79.2%	15	20.8%	72	100.0%
27	68	91.9%	6	8.1%	74	100.0%
28	42	80.8%	10	19.2%	52	100.0%
29	18	94.7%	1	5.3%	19	100.0%
30	17	100.0%	0	0%	17	100.0%
31	15	93.8%	1	6.3%	16	100.0%

Using these data, the Risk scale could possibly be modified to strength the prediction ability of the instrument by creating four levels of supervision instead of three. The four levels could be as follows: Intensive (a score of 10 or below), Maximum (a score of 11-16), Moderate (a score of 17-24) and Minimum (a score of 25-31).

RECIDIVISM BY TOTAL RISK SCORE

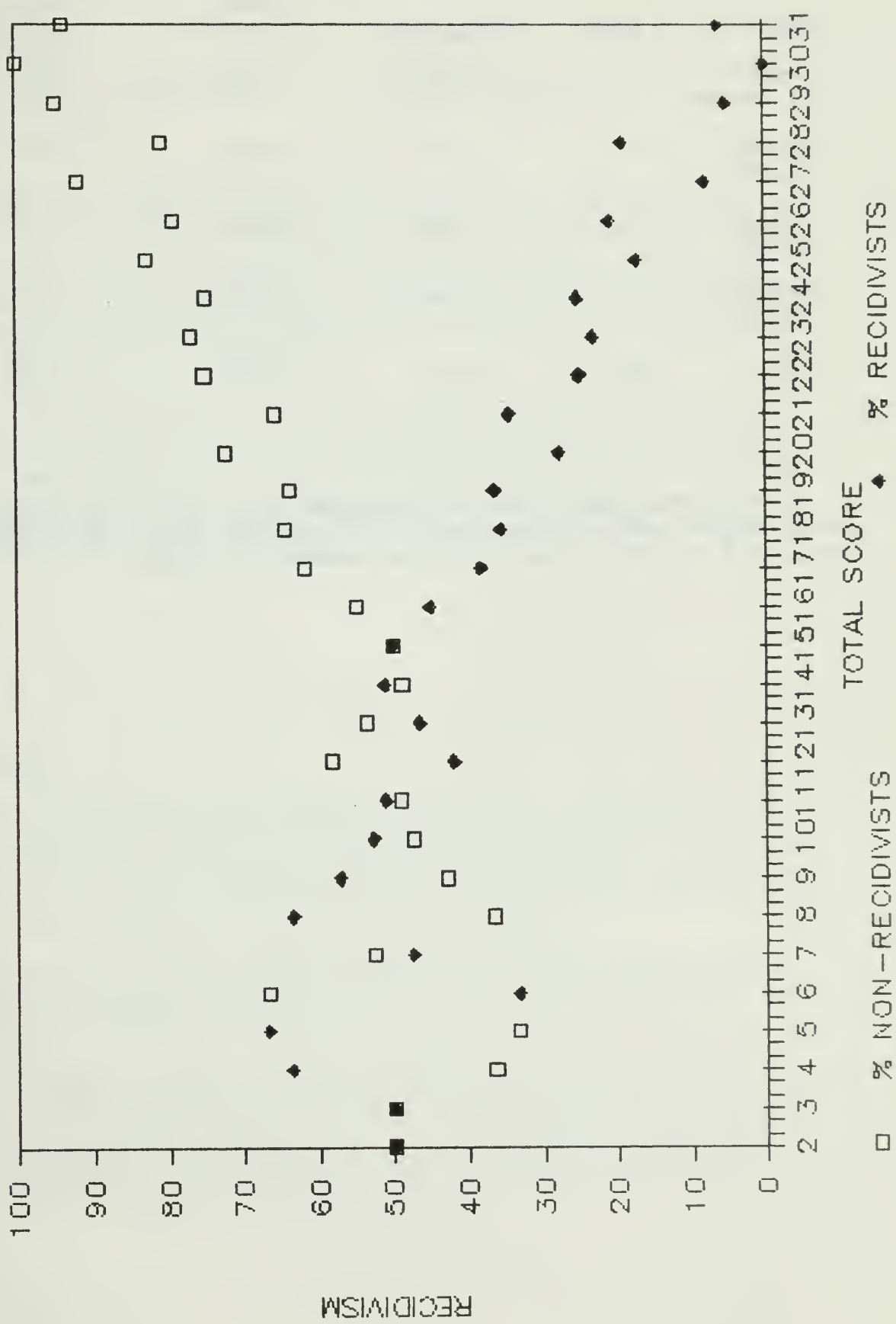


Table B. 9b: Recidivism by Modified Levels of Supervision

<u>Level</u>	<u># Cases</u>	<u>% of Total</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Intensive (10 & below)	195	10.2%	45.6%	54.4%
Maximim (11-16)	522	27.2%	52.5%	47.5%
Moderate (17-24)	862	45.0%	69.0%	31.0%
Minimum (25-31)	337	17.6%	85.8%	14.2%
TOTAL	1916	100.0%	65.2%	34.8%

By shifting the data into these new categories, we can see that the predictive ability becomes even more apparent, as the recidivism rate for the Intensive population is over 54% compared to 14% for the Minimum category.

C. NEED/STRENGTH CHARACTERISTICS

While the offenders' risk to the community is of paramount concern, the Risk/Need instrument was also designed to measure the strengths and/or deficiencies of individual offenders, in the following categories:

Education	Other Drug Use
Employment	Counseling
Marital/Family Relationships	Financial Management
Social Relationships	Motivation/Ability
Alcohol Usage	

Within each variable category, there is a four point scale ranging from "serious problem" (scored as a "-2") to "no problem", which would be scored as a "+2". At the initial assessment (usually within 30 days of being placed under probation supervision), the probation officer identifies problem areas and then determines the proper supervision plan to address any deficiencies. The probation officer also scores each of the 10 "Need/Strength" areas at the time of termination from supervision. The resulting difference, if any, between the two scores would be considered a positive or negative shift.

Since probation officers can make an impact on offenders through their referral to other community resources as well as through their required regular face-to-face contact, this study also analyzed the relationship between meeting offenders needs through these community resources and recidivism while under probation supervision. Albeit a perspective which has been somewhat out of grace in recent years, the assistance/helper role of probation officer work is one which currently offers some cautious optimism.

C.1 Education

The four points on the educational skills scale were: 1. minimal skill, 2. low skill, 3. adequate skill and 4. high school or above. A more detailed explanation of the scoring procedures used for the various need variables may be found in the Appendix. Of the 1,958 offenders that were given an initial score for the educational skills variable, 116 (5.9%) were scored as having minimal skills (see Table C.1) while 24.0% had achieved only low education skills.

By aggregating these two groups, we find that nearly 30% of the sample (586 individuals) had inadequate educational skills. In this sample, less than 38% had high school ability or above.

The relationship between the initial education score and recidivism were examined. Of the 116 offenders who had only minimal educational skills, 44% committed a new offense within 18 months after being placed on probation. Of the 713 most educated offenders, 30.4% committed a new offense at the time of this study (see Table C.1b). As a whole, the lower the initial score, the greater the likelihood that a new offense would be committed.

TABLE C.1.a.: Education Needs, Initial Assessment

Category	Code	Freq.	Percent	Cum. Percent
Minimal Skills	-2	116	5.9%	5.9%
Low Skills-Ability	-1	470	24.0%	29.9%
Adequate Skill	+1	637	32.5%	62.4%
H.S. or above skill	+2	<u>735</u>	<u>37.5%</u>	99.9%
TOTAL		1958	99.9%	

TABLE C.1.b.: Education Needs Initial x Recidivism

Category	# Cases	Percent Successful	Percent Recidivists
Minimal Skills	116	56.0%	44.0%
Low Skills-Ability	458	58.7%	41.3%
Adequate Skill	617	66.8	33.2%
High School or Above	713	69.6%	30.4%

C.2 Employment

The employment variable measures the offender's job skills (i.e. Is this person capable of securing and holding a job?). Over one third of the sample were unable to find work or were underemployed (see Table C.2a). About 8% (153 offenders) were considered to be unemployable. Less than 26% were considered to have satisfactory employment.

A significant minority (35%) had trouble finding and keeping work. Keep in mind that the Massachusetts unemployment rate in September, 1982 was 7.4%. Clearly, such an unstable population would be expected to be more crime-prone than an employed, secure group. The findings of our research indicate that that is indeed the case.

Over 40% of this unemployable group (41.7%) were recidivists (see Table C.2b). This compares to 28.9% recidivists in the group that was satisfactorily employed. The group that possessed suitable skills but nonetheless had an unsatisfactory work history, had a higher percentage of recidivists, 42.9%. This group had a slightly higher percentage of recidivists than did the unemployable group.

It seems evident that the stability of a satisfactory work history may be related to deterring criminal behavior. Those who possessed skills to obtain and keep a job were less of a risk to commit a new offense than those who lacked those skills.

TABLE C.2.a.: Employment Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Unemployable	-2	153	7.9%	7.9%
Unsatisfactory Employ.	-1	521	27.0%	34.9%
Secure Employment	+1	757	39.2%	74.1%
Satisfactory Employ.	+2	<u>500</u>	<u>25.9%</u>	100.0%
TOTAL		1932	100.0%	

TABLE C.2.b.: Employment Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Unemployable	151	58.3%	41.7%
Unsatisfactory Employment	506	57.1%	42.9%
Secure Employment	734	68.1%	31.9%
Satisfactory Employment	485	71.1%	28.9%
TOTAL	1876	65.2%	34.8%

C.3 Marital/Family

The marital/family variable measures the nature of the offender's personal relationships (i.e. Are the relationships disorganized and stressful or do they provide support?).

When the two most stressful categories (major disorganization and some stress) were aggregated, we find that at the time of being placed under probation supervision, 34.1% of the sample was involved in some type of a stressful relationship (see Table C.3a). Of that aggregated group, 37.7% (247 out of 655) committed another offense (see Table C.3b), while 416 out of 1,249 (33.3%) who were involved in stable relationships (stable relationship and strong support) committed a new offense. Those who were in the most stable relationships (strong support) were least likely to commit a new offense, 25.4%.

TABLE C.3.a.: Marital/Family Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Major Disorganization	-2	166	8.5%	8.5%
Some Stress	-1	502	25.6%	34.1%
Stable Relationships	+1	787	40.2%	74.3%
Strong Support	+2	<u>504</u>	<u>25.7%</u>	100.0%
TOTAL		1959	100.0%	

TABLE C.3.b.: Marital/Family Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Major Disorganization	165	61.2%	38.8%
Some Stress	490	62.7%	37.3%
Stable Relationships	765	61.7%	38.3%
Strong Support	484	74.6%	25.4%
TOTAL	1904	65.2%	34.8%

C.4 Social

The social variable examines the nature of the individuals' peer group relationships. When the negative relationship scores were aggregated (negative relationships and no peer support), we find that 39.5% of the sample had some type of negative peer group support (see Table C.4a). Negative peer groups may serve to undermine the probation officer's efforts. The probation officer sees the offender only on an intermittent basis, while the peer groups influence the offender over a longer period of time.

That negative support seems to be related to recidivism. Those individuals that had negative peer group support had recidivism percentages of 40.6% (negative peers) and 42.4% (occasional negative peers), while those who scored in the positive range had recidivism percentages of 34% (no negative relations) and 20.3% (good peer support). Positive peer group support appears to be a clear factor in determining an offender's future behavior (see Table C.4b).

TABLE C.4.a.: Social Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
None or Neg. Peer Group	-2	131	6.7%	6.7%
Occas. Neg. Peer Group	-1	641	32.8%	39.5%
No. Neg. Relationships	+1	829	42.5%	82.0%
Good Peer Support	+2	<u>351</u>	<u>18.0%</u>	100.0%
TOTAL		1952	100.0%	

TABLE C.4.b.: Social Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
None or Neg. Peer Group	128	59.4%	40.6%
Occas. Neg. Peer Group	623	57.6%	42.4%
No Neg. Relationships	806	66.0%	34.0%
Good Peer Support	340	79.7%	20.3%
TOTAL	1897	65.3%	34.7%

C.5 Alcohol

Many offenders had problems with alcohol abuse. Of the 1,960 valid cases, 166 (8.5%) were frequent abusers of alcohol. Another 476 persons (24.3%) occasionally abused alcohol (see Table C.5a).

Among the frequent abusers, 46.6% committed a new crime compared to 25.1% of those who didn't use alcohol at all (see Table C.5b). Such a large differential seems to suggest that alcohol problems may be related to criminal behavior. If true, then programs that deal successfully with alcohol abuse may have a concomitant affect upon the crime rate as well.

TABLE C.5.a.: Alcohol Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Frequent Abuse	-2	166	8.5%	8.5%
Occasional Abuse	-1	476	24.3%	32.8%
No Difficulties	+1	776	39.6%	72.3%
No Known Use	+2	<u>542</u>	<u>27.7%</u>	100.0%
TOTAL		1960	100.0%	

TABLE C.5.b.: Alcohol Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Frequent Abuse	163	53.4%	46.6%
Occasional Abuse	463	60.9%	39.1%
No Difficulties	750	63.5%	36.5%
No Known Use	529	74.9%	25.1%
TOTAL	1905	65.1%	34.9%

C.6 Drugs

Drug use was a problem with 20% of the offenders in the sample, with less than 4% being serious drug users (see Table C.6a). Almost 80.0% (79.9%) of the sample had no difficulties with drugs (no difficulties and no use).

Over half of the people who were frequent abusers were recidivists, (50.7%) (see Table C.6b). Those who didn't use drugs at all were unlikely to have committed a new offense, (27.3%). Based on these data, there appears to be a significant relationship between the extent of a drug problem and the probability that an offender will commit a new offense.

TABLE C.6.a.: Drug Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Frequent Abuse	-2	70	3.6%	3.6%
Occasional Abuse	-1	322	16.5%	20.0%
No Difficulties	+1	797	40.7%	60.8%
No Known Use	+2	<u>768</u>	<u>39.2%</u>	100.0%
TOTAL		1957	100.0%	

TABLE C.6.b.: Drug Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Frequent Abuse	67	49.3%	50.7%
Occasional Abuse	309	55.0%	45.0%
No Difficulties	774	63.2%	36.8%
No Known Use	752	72.7%	27.3%
TOTAL	1902	65.1%	34.9%

C.7 Counseling

A large number of offenders exhibited behavior problems that would need counseling. By aggregating the two categories of severe, and some behavior problems, we find that 732 offenders out of 1,958 cases (37.4%) had some type of serious behavior problem. About 23.2% were well-adjusted individuals, with no need for counseling. The remainder (39.4%) were able to function independently (see Table C.7a).

Of those having severe behavioral problems, 40% recidivated compared to 23% of those having no behavioral problems at all (see Table C.7b). Those offenders who were in the greatest need for counseling services were more apt to commit a subsequent crime than those who were more well-adjusted and less prone to commit a new offense. As was evident earlier in the "Social" section, persons who have a more appropriate emotional outlet are less inclined to continue criminal behavior than those who lack that release.

TABLE C.7.a.: Counseling Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Severe Behavior Problms	-2	112	5.7%	5.7%
Some Behavior Problems	-1	620	31.7%	37.4%
Able to Function	+1	771	39.4%	76.8%
Well Adjusted	+2	<u>455</u>	<u>23.2%</u>	100.0%
TOTAL		1958	100.0%	

TABLE C.7.b.: Counseling Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Severe Behavior Problems	110	60.0%	40.0%
Some Behavior Problems	606	59.2%	40.8%
Able to Function	741	63.8%	36.2%
Well Adjusted	446	76.7%	23.3%
TOTAL	1903	65.2%	34.8%

C.8 Financial Management

Theoretically, some offenders may have trouble managing their finances which subsequently induces them to commit crimes. Our figures indicate that 34.5% of the sample had some degree of difficulty in managing their money (see Table C.8a).

Among those who had serious difficulty in handling their money, 39.6% were recidivists, while 44.8% of those who had minor problems with money committed a new offense (see Table C.8b). Of those with no difficulties, 33.8% committed a new offense, while less than 23% of the self-sufficient group had recidivated. Thus, there apparently is a relationship between financial difficulties and subsequent criminal behavior.

TABLE C.8.a.: Financial Management, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Severe Difficulties	-2	102	5.3%	5.3%
Minor Difficulties	-1	563	29.2%	34.5%
No Difficulties	+1	841	43.7%	78.2%
Self-Sufficiency	+2	<u>420</u>	<u>21.8%</u>	100.0%
TOTAL		1926	100.0%	

TABLE C.8.b.: Financial Management Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Severe Difficulties	101	60.4%	39.6%
Minor Difficulties	553	55.2%	44.8%
No Difficulties	810	66.2%	33.8%
Self-Sufficiency	407	77.4%	22.6%
TOTAL	1871	65.0%	35.0%

C.9 Motivation/Ability

The motivation of the Risk/Need sample was analyzed to determine if the population was receptive to probation supervision. Most offenders were able to address their problems. Many were both able and willing to change (40.7%), while a few were neither able nor willing (4.8%) (see Table C.9a). The remainder were either willing but unable (18.4%) or able but unwilling (36.2%).

Those least capable of dealing with their problems were most likely to commit a new offense (46.2%), while those who were the most capable were least likely to commit a crime (28.6%) (see Table C.9b). Those who were willing to take responsibility for their own actions were less likely to continue in crime than those who blamed others for their problems. Offenders with a negative attitude tend to rationalize their criminality and as a result this rationalization allows them to continue their criminal careers. Unable translates into lack of skill in handling problem areas, thus a person who may be motivated in wanting to change cannot change if they lack general life skills, such as employment, finances, relationships, etc.

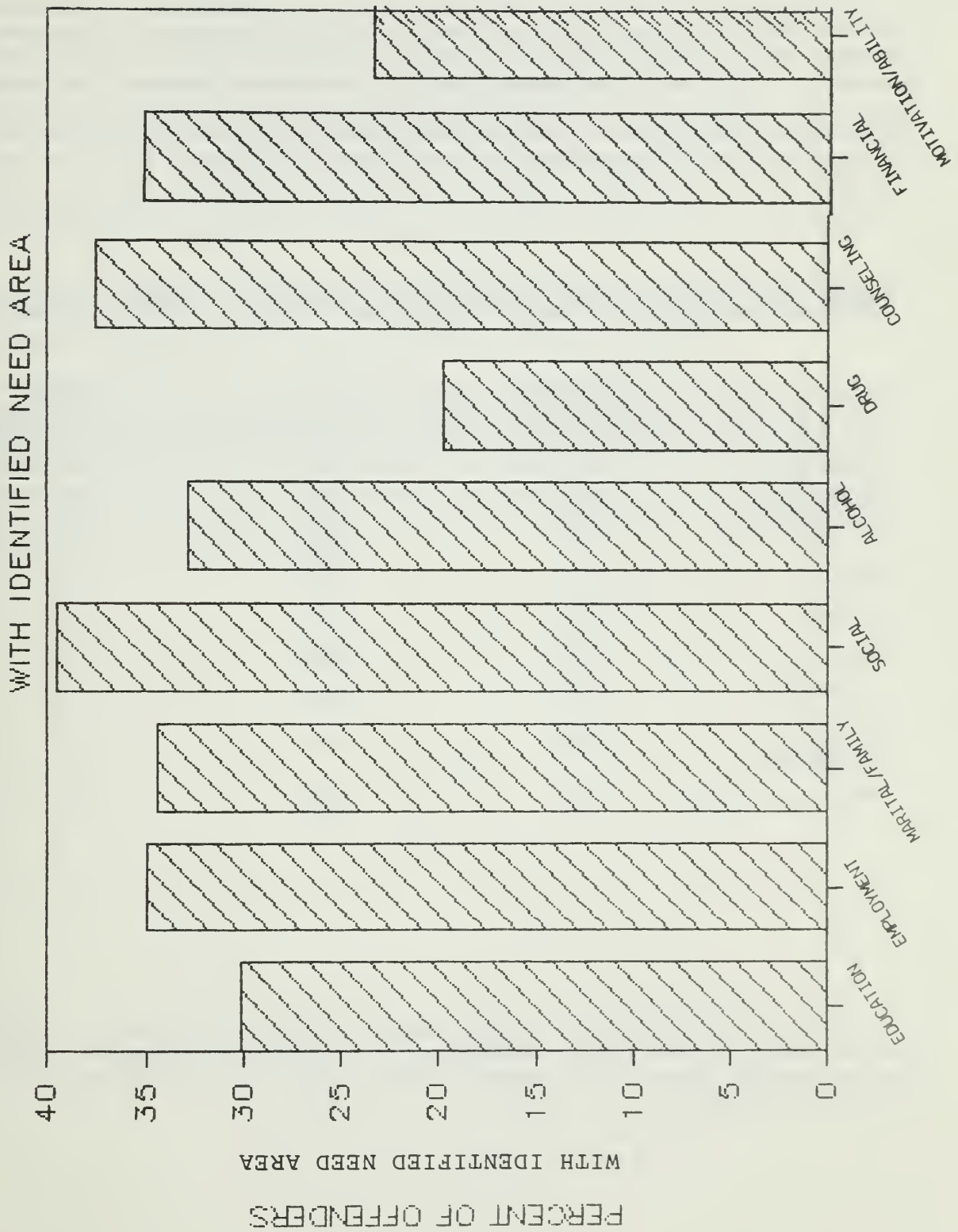
TABLE C.9.a.: Motivation Needs, Initial Assessment

<u>Category Label</u>	<u>Code</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Unable Address Problems	-2	94	4.8%	4.8%
Willing but Unable	-1	359	18.4%	23.2%
Able but Unwilling	+1	707	36.2%	59.3%
No Problem	+2	<u>795</u>	<u>40.7%</u>	100.0%
TOTAL		1955	100.0%	

TABLE C.9.b.: Motivation Needs Initial x Recidivism

<u>Category</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Unable Address Problems	91	53.8%	46.2%
Willing but Unable	353	58.6%	41.4%
Able but Unwilling	690	63.3%	36.7%
No Problem	766	71.4%	28.6%
TOTAL	1900	65.3%	34.7%

NEED AREA: PERCENT OF OFFENDERS



C.10 Shifting Scores

The next area to be addressed is that of need scores shifting from the time of the initial assessment until the time when the offender is terminated from probation supervision. The purpose of analyzing these shifts is to determine the effect of probation supervision on offenders. We wanted to know if and how the offender's behavior changes as a result of being exposed to a probation officer's supervision and community resources.

While the data suggest that there is relatively little shifting in the offender's behavior during probation supervision, keep in mind that probation officers see offenders only a few hours each month compared to frequent contact with negative peer and family relationships and a lifetime of anti-social behavior. Therefore, any positive shift while under probation officer supervision should be considered significant. According to the data in Table C.10a, probation officers have been able to effect significant improvements in a number of problem areas.

Table C.10a: Shifts in Need Scores, Positive, Negative, No Change Categories

	Positive Change (%)	No Change (%)	Negative Change (%)
Education	10.4	84.7	5.0
Employment	21.0	71.0	8.1
Marital/Family	18.8	75.6	5.6
Social	26.7	53.4	19.9
Alcohol	41.0	44.3	14.7
Drug	13.4	81.4	5.3
Counseling	21.2	72.6	6.3
Financial Management	19.0	75.8	5.2
Motivation/Ability	18.3	72.3	9.4

Of the identified problem areas, probation officers were able to effect positive change in over 10% of the offenders in nine different categories. Every type of problem responded to probation officer supervision and to referrals to community resources.

The problem areas that were the most markedly affected were alcohol (41.0) and social (26.7%). That is to say that 41.0% of the total sample improved their scores as to their alcohol problems, from their initial intake until their termination.

Major improvements were also found in counseling (21.2%), employment (21.0%), financial management (19.0%), marital/family (18.8%) and motivation (18.3%) needs.

Finally, we assessed the relationship between shifts in the scores and subsequent criminal behavior. Theoretically, the greater the degree of improvement, then the lesser the number of occurrences of new criminal offenses. For the most part, the hypothesis is proven correct (see Table C.10b). In some instances, the actual number of subjects per cell were so low that minor variances would drastically skew the percentages. However, in areas like employment problems, the data support our hypothesis. In other words, as we move along the continuum from significant recession to significant improvement, an inverse relationship occurs vis-a-vis recidivism. The greater the extent of the problem, then the smaller the probability that the offender will not commit a new crime.

A very significant finding in the employment area is that no offender who suffered a significant decline in employment status remained crime-free, while everyone who significantly improved was able to stay out of trouble.

Virtually across the board, the offenders who improved while under probation supervision had a lower recidivism rate than those who recessed during the same period of time. Areas like alcohol and drug abuse, marital/family and social skills all showed significantly lower recidivism percentages for the improved offenders over those whose condition worsened. It seems fair to say that probation supervision and community referrals can have a positive affect on offenders and thereby reduce crime in the process.

SHIFTS IN NEED SCORES

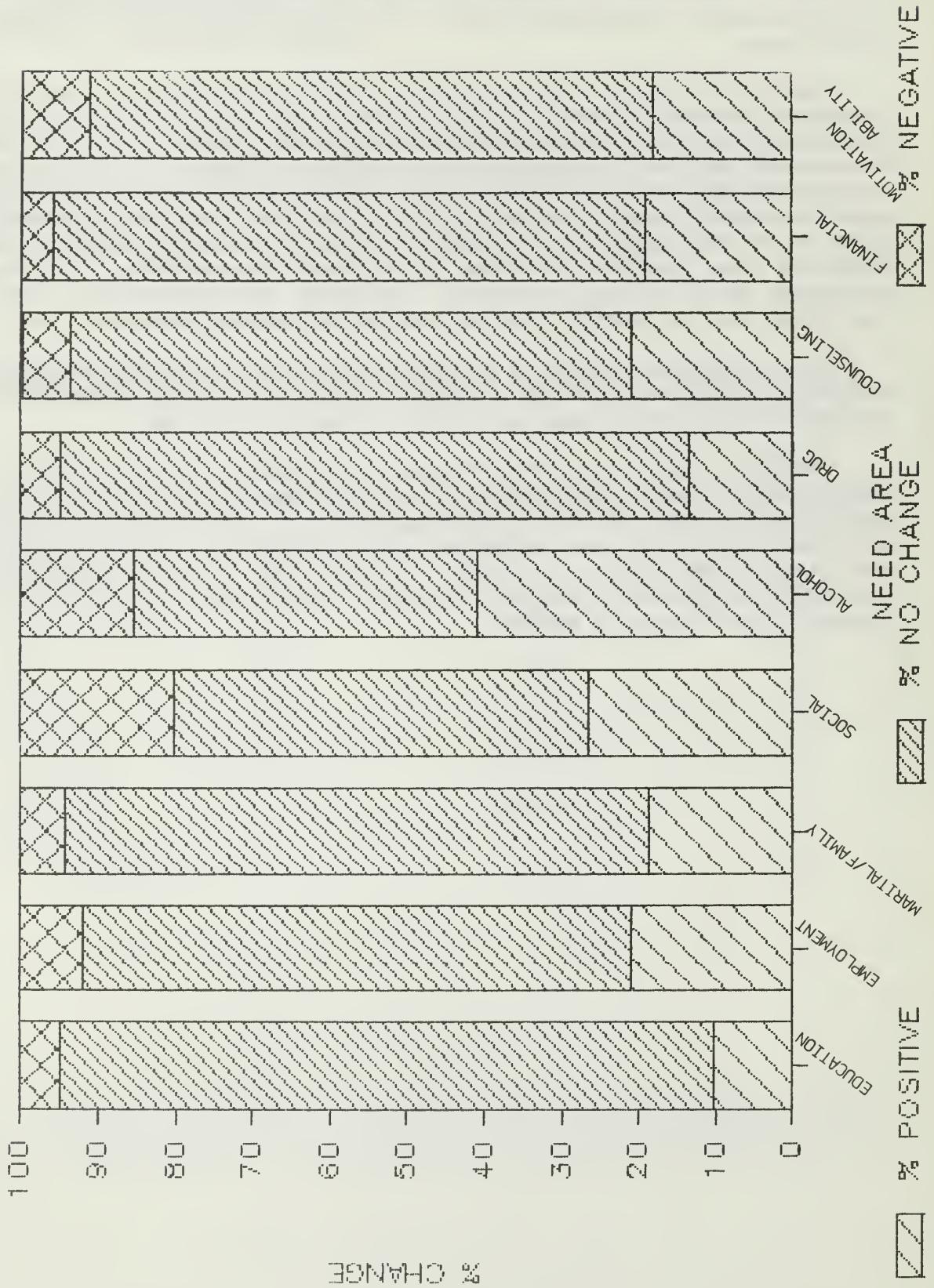


Table C.10b Shifts in Need Scores from Initial Assessment to Termination

	Education		Employment		Marital/ Family		Social		Alcohol		Drug		Counseling		Financial Management		Motivation	
	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%	N	%
Significant Recession	---	---	2	0.2	---	---	2	0.2	2	0.2	1	0.1	2	0.2	1	0.1	5	0.4
Moderate Recession	5	0.4	10	0.9	8	0.7	35	3.0	30	2.6	9	0.8	12	1.0	4	0.3	18	1.5
Slight Recession	54	4.6	81	7.0	58	4.9	196	16.7	140	11.9	52	4.4	60	5.1	55	4.8	88	7.5
No Change	1000	84.7	822	71.0	892	75.6	628	53.4	520	44.3	957	81.4	855	72.6	873	75.8	850	72.3
Slight Improvement	103	8.7	194	16.8	191	16.2	253	21.5	357	30.4	136	11.6	209	17.8	185	16.1	169	14.4
Moderate Improvement	16	1.4	40	3.5	31	2.6	57	4.8	109	9.3	20	1.7	36	3.1	31	2.7	43	3.7
Significant Improvement	3	0.3	8	0.7	---	---	5	0.4	15	1.3	1	0.1	3	0.3	2	0.2	2	0.2
TOTAL	1181	100	1157	100	1180	100	1176	100	1173	100	1176	100	1177	100	1151	100	1175	100

D. SUPERVISION PROCESS

The Risk section of the classification system measures largely objective offender characteristics, and the Need section measures subjective offender characteristics. Taking an interactionist perspective, this project also focused on the interplay between the offender and the probation officer in the Supervision Process.

In that context, the following issues were investigated:

(1) In what way are surrender practices undertaken and how are technical violations related to recidivism?

(2) To what degree does accurate preparation of classification forms (in compliance with the Supervision Standards) relate to recidivism?

(3) To what degree is timely assessment of offenders under the Risk/Need Classification System (i.e. within 30 days) related to recidivism?

By analyzing the Supervision Process, the effectiveness of different intervention strategies could be analyzed.

D.1 Surrender for New Offense

Nearly 17% of the people in the study were surrendered for a new offense prior to their cases being terminated. This compares to an actual recidivism rate of 33.5%. The data suggest that the odds are about 50-50 that offenders who commit offenses while under probation supervision will be brought back to court for a case review.

D.2 Default: Surrender for New Offense

Of the 225 cases surrendered for a new offense, 52 people failed to appear in court for the surrender hearing, accounting for 23.1% of those surrendered for a new offense.

D.3 Modifications of Conditions of Probation: New Offense

Once these offenders were brought back before the court for a case review resulting from arraignment for a new offense, nearly 52% of the people had their original conditions of probation modified through additional sanctions, extended supervision time, etc. This excludes those offenders whose review led to implementation of a sentence of incarceration.

D.4 Incarcerated Due to Surrender

The most extreme sanction available to the court vis-a-vis surrender hearings is to send the person to a correctional institution, instead of letting them remain under community supervision. In this study, 60 people were sent away, accounting for 3% of this entire sample. Once someone is surrendered for a new offense, nearly 30% are subsequently incarcerated.

TABLE D.4.: Incarcerated Due to Violation Hearing

<u>Category Label</u>	<u>Freq.</u>	<u>Percent</u>	<u>Cum. Percent</u>
Incarcerated	60	29.1%	29.1%
Not Incarcerated	146	70.9%	100.0%
TOTAL	206	100.0%	

D.5 Technical Violation During Supervision

Of particular interest is the incidence of technical violations during probation supervision, for it is at this type of surrender hearing that non-compliance with the original conditions of probation can be brought forward for judicial review. According to Table D.5, a total of 185 people were surrendered for technical violations. Contrary to expectations, technical violations in and of themselves do not appear to reduce the recidivism rate. In the study, 42.2% of those who had a technical violation were subsequently recidivists, compared to a recidivism rate of 31.9% for those who had no surrender hearing for a technical violation.

TABLE D.5.: Recidivism x Technical Violation

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Technical Violation	185	57.8%	42.2%
No Technical Violation	1109	68.1%	31.9%
TOTAL	1294	66.6%	33.4%

D.6 Recidivism X Technical Violations X Court Level

According to the data in Table D.6, analysis of recidivism by technical violations for the three court levels (Superior, District/BMC, Juvenile) did not meet the test of statistical significance. In Superior Court, the recidivism rate was the same (30%) for those with and without a surrender hearing for a technical violation. In the District/Boston Municipal Courts, 44.4% of those with a technical violation compared to 35.4% of those with no technical violation were subsequently recidivists. The same pattern held true for juveniles, with 38.1% of those who were surrendered for a technical violation and 24.9% of those who were not surrendered subsequently becoming recidivists.

TABLE D.6.: Recidivism x Technical x Court Level

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
<u>Technical Violation</u>			
Superior	10	70.0%	30.0%
District/BMC	133	55.6%	44.4%
Juvenile	42	61.9%	38.1%
<u>No Technical Violation</u>			
Superior	30	70.0%	30.0%
District/BMC	721	64.6%	35.4%
Juvenile	353	75.1%	24.9%

D.7 Recidivism X Technical Violations X Level of Supervision

Since court level does not seem to have any relationship to technical violations influencing the recidivism rate, the data was further analyzed by level of supervision.

Looking at the data in Table D.7, the people who had technical violations had higher recidivism rates across all three supervision levels than those who did not violate the conditions of probation. Note, however, that 38.4% of the people who had technical violations were in the Maximum supervision category, compared to 20.7% of those who had no technical violations. This fact provides some insight into the significance of the data. People who are high risk in terms of recidivism are also high risk in terms of abiding by the conditions of probation. Violation of the conditions of probation for these high risk cases appears to go hand and hand with subsequent criminal behavior.

TABLE D.7.: Recidivism x Technical Violations x Level of Supervision

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
<u>Technical Violation</u>			
Maximum Supervision	71	43.7%	56.3%
Moderate Supervision	91	62.6%	37.4%
Minimum Supervision	23	82.6%	17.4%
<u>No Technical Violation</u>			
Maximum Supervision	229	52.8%	47.2%
Moderate Supervision	574	66.2%	33.8%
Minimum Supervision	305	83.3%	16.7%

D.8 Recidivism X Technical Violation X Modification of Conditions of Probation

Once a case has been brought forward for judicial review, and the judge modifies the conditions of probation through additional sanctions, the recidivism rate does seem to be lower than for those people who do not have the conditions modified. While the recidivism rate is high for both groups (see Table D.8), violation of the conditions of probation is behavior which clearly puts the offender at risk. Therefore, one would expect the recidivism rates to be high. However, the use of additional sanctions seems to provide some deterrent to subsequent criminal behavior. These findings re-open the issue of what other conditions should be imposed to use a technical violation as an early warning to the offender as to the seriousness of the sanctions imposed.

TABLE D.8.: Recidivism x Technical Violations x Modifications

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Conditions Modified	57	59.6%	40.4%
Conditions Not Modified	99	56.6%	43.4%
TOTAL	156	57.7%	42.3%

D.9 Default: Surrender for Technical Violation

Of the 188 cases surrendered for a technical violation, 72 people failed to appear in court for the surrender hearing, accounting for 38.3% of those with technical violations. This compares to a default rate of 23.1% for those surrendered for a new offense.

D.10 Recidivism X Nature of Technical Violation

In Table D.10, the recidivism rates are presented for each category of technical violation. People who fail to keep appointments with their probation officers accounted for 56.7% of those with a technical violation; their recidivism rate was 43.4%. People who failed to attend a special program, such as those programs available to drunk drivers, drug users or alcoholics, accounted for 12.8% of the sample and had the highest recidivism rate (58.3%).

TABLE D.10.: Recidivism x Nature of Technical Violations

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Failure to Keep Appointments with Probation Officer	106	56.6%	43.4%
Failure to Pay Restitution and Other Fees & Fines	35	74.3%	25.7%
Failure to Delivered Court- Ordered Community Service	1	100.0%	0.0%
Failure to Attend Court- Ordered Program	24	41.7%	58.3%
Other	21	52.4%	47.6%
TOTAL	187	57.8%	42.2%

Table D.11 Time to Technical Violations

According to the data in Table D.11, the average technical violations take place 6.8 months into the supervision process. This compares to a 7.3 month average time to recidivism (see Tables A.9a & A.9b). For technical violations to have maximum vigilance impact on the supervision process, it may be that they need to occur earlier in the probationary period. It may also be that the acting out behavior of not going to programs, not keeping appointments, etc. are early warning signs of imminent criminal behavior.

TABLE D.11.: Time to Technical Violations: Number of Months

<u># Months</u>	<u>Frequency</u>	<u>Percent</u>	<u>Cum. Percent</u>
1-3 mos	44	25.9%	25.9%
4-6 mos	38	22.3%	49.2%
7-9 mos	36	21.2%	70.4%
10-12 mos	46	27.1%	97.5%
13-18 mos	6	3.5%	100.0%
TOTAL	170	100.0%	

D.12 Recidivism X Consistency/Accuracy of Initial Assessment Forms

One method of measuring probation officers' compliance with the promulgated Supervision Standards is to assess the reliability of the data on the initial assessment forms. The hypothesis here was that probation officers who follow the Standard and obtain sufficient, reliable information to accurately assess the persons's risk to the community will have lower rates of redicivism than probation officers whose initial assessment forms have errors and internal inconsistency. Looking at 1,897 cases, 53% of the initial assessment forms were correct and internally consistent; 47% of the classification forms had at least one substantive error including inconsistency from one section to the next.

According to Table D.12, the hypothesis was supported by the data. The recidivism rate for offenders supervised by the probation officers who filled out the forms correctly was less than 30%, compared to over 40% for the offenders supervised by probation officers whose assessments were incorrect or inconsistent.

TABLE D.12.: Recidivism x Consistency/Accuracy of Initial Assessment Forms

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Forms Accurate/Consistent	1006	70.1%	29.9%
Forms Inaccurate/Inconsistent	891	59.7%	40.3%
TOTAL	1897	65.2%	34.8%

D.13 Number of Subsequent Offenses X Consistency/Accuracy of Initial Assessment Forms

Given the assumption that filling out the form accurately is an indication of a vigilant supervision style, the recidivism data was taken one step further to see if the frequency of subsequent offenses was in any way related to the supervision process. According to the data in Table D.13, the recidivist offenders whose probation officers supervision style produced accurate, consistent assessments had fewer subsequent offenses (average = 1.65) than those recidivist offenders whose probation officers were inaccurate or inconsistent (average = 1.81). Therefore, a supervision style which includes a careful, accurate assessment of individual offenders not only is related to a lower recidivism rate, but even among those probationers who recidivate, they appear to commit fewer offenses than probationers supervised by probation officers whose assessments are inaccurate and inconsistent.

TABLE D.13.: Number of Subsequent Offenses x Consistency/
Accuracy of Initial Assessment Forms

<u># Subsequent Offenses</u>	<u>Consistent</u>		<u>Inconsistent</u>	
	<u>Freq.</u>	<u>Percent</u>	<u>Freq.</u>	<u>Percent</u>
1	188	62.5%	198	55.2%
2-3	96	31.9%	135	37.6%
4-6	14	4.6%	22	6.1%
7-10	3	1.0%	4	1.1%
TOTAL	301	100.0%	359	100.0%
Average	1.65		1.81	

D.14 Time to Assessment

One further measurement of vigilance in the Supervision Process is compliance with the Supervision Standard which requires that all offenders be assessed within 30 days of being placed under probation supervision. According to the data in Table D.14a, nearly 63% of the offenders under Risk/Need classification were assessed within the 30 day requirement, while 37% were assessed in more than 30 days.

Probation officers supervising juvenile delinquents seem to be in greater compliance with the "30-day" requirement than do probation officers supervising adults. Over 72% of the juveniles were assessed within 30 days compared to 60% of the adults.

TABLE D.14a.:Time to Assessment x Adults/Juveniles

<u>Category Label</u>	<u># Cases</u>	<u>Assessed w/in 30 days</u>	<u>Assessed in 31+ days or more</u>
Adults in the District/ BMC/Superior Courts	1236	60.1%	39.9%
Juveniles	359	72.1%	27.9%
TOTAL	1595	62.8%	37.2%

Since the "30-day" assessment requirement of the Supervision Standard was included to emphasize probation as a means of social control, the hypothesis was that the deterrent capacity of probation may be diluted by delays in assessments, and therefore delays in implementing a supervision plan.

According to Table D.14b, the hypothesis is supported by the data. Less than 34% of those who were assessed within 30 days were subsequently recidivists, compared to over 39% of those whose assessments and supervision plans were not implemented for 31 days or more.

TABLE D.14b.: Recidivism x Time to Assessment

<u>Category Label</u>	<u># Cases</u>	<u>Percent Successful</u>	<u>Percent Recidivists</u>
Assessed within 30 days	981	66.1%	33.9%
Assessed in 31 days or more	566	60.6%	39.4%
TOTAL	1547	64.1%	35.9%

V. DISCUSSION

A. New Risk Scales Proposed

With the current national trend toward use of "Intensive Supervision" as an additional means of social control, Massachusetts has also been analyzing the potential impact of this new supervision style on recidivism rates. Data from this and earlier research indicate that Massachusetts is able to reliably identify categories of high risk offenders. Court orders are being enforced, as is evident in the data on Technical Violations in this report. If changes in the current Risk/Need system are indicated, at least two proposals are apparent from the data in this report:

(1) utilize the present risk scale, but use different cut-off points so that 4 levels are created, where now 3 levels exist (see Table B.9b).

(2) based on the significant relationship between age and crime (see Table A.4), the "age at instant offense" might be added to the risk scale in lieu of "attitude"; a subjective variable would then be replaced with an objective, verifiable variable. The result would be that a greater number of offenders would fall into the "Intensive Supervision" category, as is evident below:

<u>Supervision Level.</u>	<u>EXISTING SCALE</u>		<u>PROPOSED SCALE</u>	
<u>Supervision Level</u>	<u>Percent</u>	<u>Recid.</u>	<u>Percent</u>	<u>Recid.</u>
Intensive (up to 10)	10.2%	54.4%	16.5%	52.9%
Maximum (11-16)	27.2%	46.6%	32.5%	45.0%
Moderate (17-24)	45.0%	31.0%	42.5%	24.4%
Minimum (25-32)	17.6%	14.2%	8.5%	14.4%
	100.0%		100.0%	

The proposed scale would result in nearly half of the offenders being under Intensive or Maximum supervision, compared to less than 38% using the existing scale.

B. Victim Services

In line with the use of greater sanctions against people in community supervision settings, greater use of victim services and community service restitution should be encouraged as a condition of probation. Data in this study indicate that accountability in terms of paying restitution to victims seems to be related to recidivism (see Table D.10); that is, people who are called back to court for failure to pay restitution and reminded of their obligations have a lower recidivism rate than other types of people who violate other conditions of probation. Probation officers who aggressively monitor restitution cases and community service cases may find lower rates of recidivism than probation officers who fail to enforce these important victim-oriented court orders.

C. Greater Use of Community Resources

The data in the Need section of this study suggest that appropriate referrals to community resources may help reduce the recidivism rate, particularly for employment, alcohol and drug problems. Because these three problem areas have clear-cut expected outcomes, referrals in these areas are "results oriented". Problems in areas such as these three may be related to criminal behavior; providing resources to meet the deficiencies are not just a humane thing to do, it also seems to have a bearing on subsequent crime (see graphs on page 47).

Greater use of community resources is indicated; however, they should be used with the goal in mind of reducing recidivism. The need scale indicate that not all offenders have the same needs; referrals, therefore, should be custom tailored to individuals and not delivered wholesale.

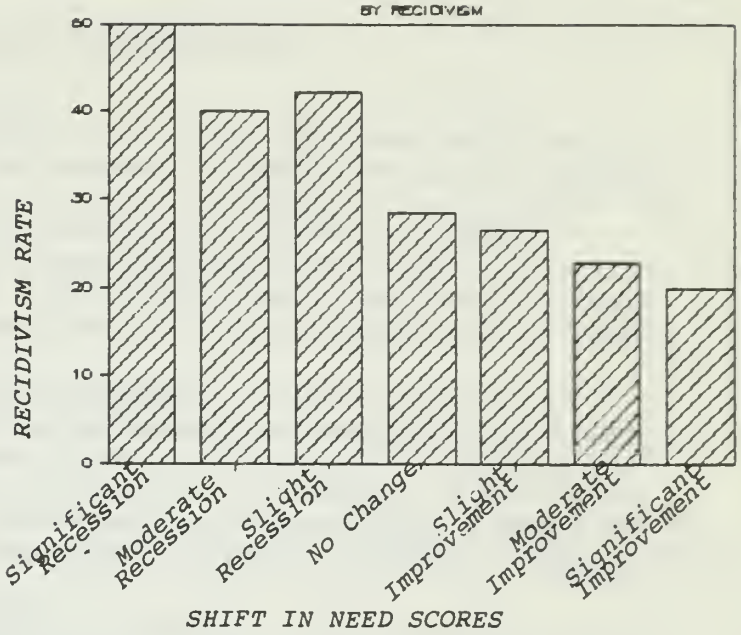
D. Supervision Process Important

Data in this study show that there are certain offender characteristics which are related to recidivism. The data further indicate that there are certain aspects of the supervision process which have some relationship to subsequent criminal behavior. Probation officers who assess their cases within 30 days seem to have a lower recidivism rate than probation officers who delay the assessment process. Probation officers who assess their cases with accurate, reliable information have lower recidivism rates than probation officers who make those assessments based on inaccurate, inconsistent information.

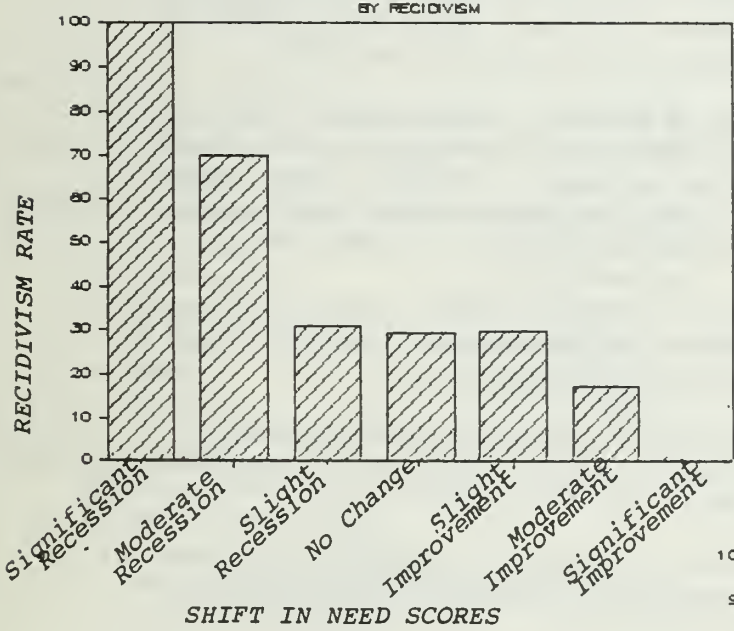
These findings are a major breakthrough in knowledge about the supervision process. How probation officers approach their work is clearly related to case outcomes. It seems that probation officers who think that nothing they do can make a difference endure a self-fulfilling prophesy. On the positive side, probation officers who believe they can help seem to adopt strategies that support the position, as seen in lower recidivism rates.

Shift in Alcohol,
Employment and
Drug Need Scores
from Initial
Assessment to
Probation Termina-
tion by Recidivism.

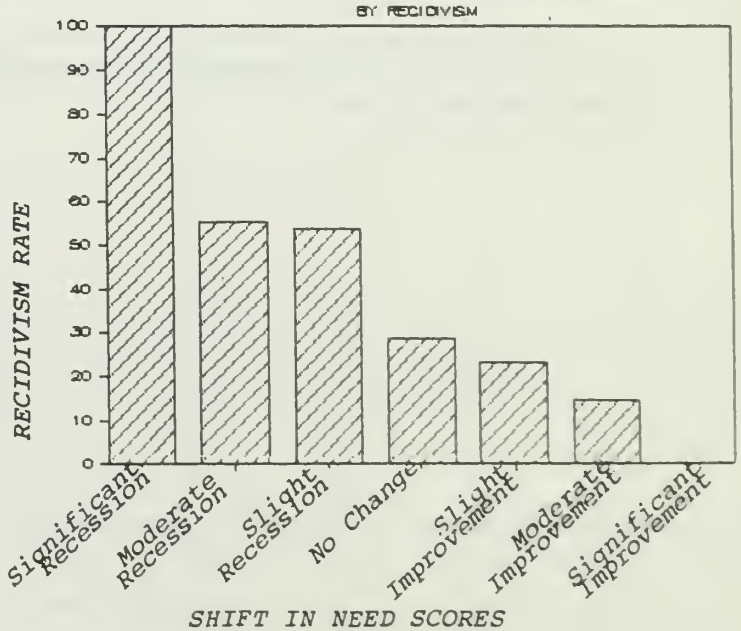
SHIFT IN ALCOHOL NEED SCORES



SHIFT IN EMPLOYMENT NEED SCORES



SHIFT IN DRUG NEED SCORES



VI. SUMMARY & CONCLUSION

As can be seen from these data, probation officers in the Massachusetts Probation Service are dealing with a substantially disadvantaged population.

A profile of the average offender indicates that the person is male, 20 years of age, has a prior record, loose community roots, educationally disadvantaged, chronically unemployed, and comes from a disorganized family structure with substance abuse (particularly alcohol) being a paramount ingredient in the profile.

Of special concern is the population which scored at a 10 or less on the Risk scale; it is this population of repeat offenders which probably would constitute the "Intensive Supervision" group, if a 4-tier supervision system were enacted. In this study, 99.5% of the offenders in this category had a prior record, compared to 69% of the total Risk/Need sample having a previous criminal history. Prior record was clearly demonstrated to be related to recidivism.

As has been seen throughout this report, the extent of an offender's deficiencies in any one of a number of problem areas will affect his/her subsequent criminal behavior. The offenders who scored at highest risk upon initial assessment were more likely to commit new offenses. Similarly, those whose behavior changed for the worst while on probation also were more likely to recidivate.

Clearly, offenders' needs must be met if society is to effectively deal with crime. It is also evident that the data indicate that probation supervision can play a significant role in meeting the needs of offenders. In those cases where probation intervention improved behavior, there was also a concomitant decrease in the propensity to commit new crimes and an obvious increase in public safety.

Because of the depths of the social and economic problems presented by this segment of the population, reducing recidivism will take a total commitment from all aspects of the criminal justice and human service communities.

The vastness of the problem suggests that the most effective role probation can play is as the linking pin between the public's concern and need for safety and the offender's need and concern for services.

There are no easy answers or quick solutions. Probation's dominant role in the criminal justice system warrants a commitment to innovative approaches and supervision strategies.

MASSACHUSETTS PROBATION SERVICE -- ASSESSMENT OF OFFENDER RISK

Name _____ (FIRST) _____ (MIDDLE) _____ (LAST)
 D.O.B. ____/____/____ S.S. ____/____/____ Sex _____ CT# _____
 Date Assessed ____/____/____ Assessed by _____ (FIRST) _____ (MIDDLE) _____ (LAST)
 Supervising Probation Officer _____
 Offense(s) #1 _____ #2 _____
 #3 _____ Probation From ____/____/____ to ____/____/____

	SCORE AT:	INITIAL	FOUR MOS.	TEN MOS.	TERM												
1. PRIOR RECORD (ADULT OR JUVENILE) DURING PAST 5 YEARS 0 = 3 or more 1 = two 2 = one 4 = none																	
2. NUMBER OF PRIOR PERIODS OF PROBATION SUPERVISION DURING PAST 5 YEARS 0 = 2 or more 1 = one 4 = none																	
3. AGE AT FIRST OFFENSE 0 = 16 or younger 1 = 17-19 2 = 20-23 3 = 24 or older																	
4. NUMBER OF RESIDENCE CHANGES DURING PAST 12 MONTHS 1 = 2 or more 2 = one 3 = none																	
5. EMPLOYED/SCHOOL ABSENCE DURING PAST 12 MONTHS <table border="0" style="width:100%"> <tr> <td style="width:50%">EMPLOYED</td> <td style="width:50%">SCHOOL ABSENCE</td> </tr> <tr> <td>0 = 2 months or less</td> <td>0 = 26 or more days</td> </tr> <tr> <td>1 = 3-4 months</td> <td>1 = 21-25 days</td> </tr> <tr> <td>2 = 5-6 months</td> <td>2 = 16-20 days</td> </tr> <tr> <td>3 = 7-8 months</td> <td>3 = 11-15 days</td> </tr> <tr> <td>4 = 9 months</td> <td>4 = 10 days or less</td> </tr> </table>	EMPLOYED	SCHOOL ABSENCE	0 = 2 months or less	0 = 26 or more days	1 = 3-4 months	1 = 21-25 days	2 = 5-6 months	2 = 16-20 days	3 = 7-8 months	3 = 11-15 days	4 = 9 months	4 = 10 days or less					
EMPLOYED	SCHOOL ABSENCE																
0 = 2 months or less	0 = 26 or more days																
1 = 3-4 months	1 = 21-25 days																
2 = 5-6 months	2 = 16-20 days																
3 = 7-8 months	3 = 11-15 days																
4 = 9 months	4 = 10 days or less																
6. FAMILY STRUCTURE 0 = currently resides away from family, few or no family ties 1 = resides in one-parent home 2 = parent not supporting children 3 = single, emancipated from parental home, strong family ties, or married no children 4 = resides in two-parent home 5 = parent supporting children																	
7. ALCOHOL OR DRUG USAGE PROBLEMS 0 = frequent abuse, needs treatment 1 = presently in treatment 2 = occasional abuse, some disruption of functioning 3 = prior problem 4 = no apparent problem																	
8. ATTITUDE 1 = rationalizes negative behavior; not motivated to change 2 = dependent or unwilling to accept responsibility 3 = motivated to change; receptive to assistance 4 = motivated; well adjusted; accepts responsibility for actions																	
TOTAL RISK SCORE																	

Name _____ D.O.B. _____ S.S. _____ / / _____ SEX _____ CT.# _____
(First) (Middle) (Last)

NEEDS/STRENGTHS	INITIAL ASSESSMENT				FOUR MONTH ASSESSMENT				TEN MONTH ASSESSMENT				TERMINATION ASSESSMENT			
	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
EDUCATIONAL	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
EMPLOYMENT	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
MARITAL/FAMILY	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
SOCIAL	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
ALCOHOL USAGE	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
OTHER DRUG USAGE	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
COUNSELING	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
HEALTH	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
FINANCIAL MGMT	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2
MOTIVATION/ABILITY	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2	-2	-1	+1	+2

NEEDS/STRENGTHS BRIEF NARRATIVE SUMMARY

SUPERVISION PLAN AND DUE DATE

	INITIAL	FOUR MONTHS	TEN MONTHS

TERMINATION SUMMARY:

PROBATION SUPERVISION	DATE INITIAL ASSESSMENT			DATE FOUR MONTHS			DATE TEN MONTHS			DATE TERMINATION		
	MAX	MOD	MIN	MAX	MOD	MIN	MAX	MOD	MIN	MAX	MOD	MIN
REVIEWED AND APPROVED BY AND DATE				SUPV. PLAN ADDRESSED			SUPV. PLAN ADDRESSED			SUPV. PLAN ADDRESSED		
				YES		NO	YES		NO	YES		NO

**MASSACHUSETTS PROBATION SERVICE
SCORING PROCEDURES FOR ASSESSMENT
OF OFFENDER NEEDS/STRENGTHS**

	-2	-1	+1	+2
EDUCATIONAL:	Minimal skill/ability level causing severe adjustment problems	Low skill/ability level causing minor adjustment problems	Adequate skills/ability no apparent problems	High school or above skill/ability level
EMPLOYMENT:	Unemployed and virtually unemployable; needs training	Unsatisfactory employment; or unemployed but has adequate job skills/abilities	Secure employment; no difficulties reported; or homemaker, student or retired	Satisfactory employment for one year or longer
MARITAL/FAMILY RELATIONSHIPS:	Major disorganization or stress	Some disorganization or stress but potential for improvement	Relatively stable relationships	Relationships and support exceptionally strong
SOCIAL:	Peer group relationships negative or non-existent	Peer group relationships occasionally negative	No negative relationships	Good peer support and influence
ALCOHOL USAGE:	Frequent abuse; serious dysfunctional behavior; needs treatment	Occasional abuse, some disruption of functioning	No difficulties reported or observed	No known use
OTHER DRUG USAGE:	Frequent abuse; serious dysfunctional behavior; needs treatment	Occasional abuse, some disruption of functioning	No difficulties reported or observed	No known use
COUNSELING:	Behavior problems that severely limit independent functioning	Behavior problems that indicate some need for assistance	Able to function independently	Well adjusted; accepts responsibility for actions
HEALTH:	Serious handicap or chronic illness; needs frequent medical care	Handicap or illness interferes with functioning on a recurring basis	No current health problems	Sound physical health, seldom ill
FINANCIAL MANAGEMENT:	Severe difficulties in handling finances	Situational or minor difficulties	No current difficulties	Long standing pattern of self sufficiency; e.g. good credit rating
MOTIVATION/ABILITY:	Offender both unable and unwilling to address problems	Offender willing but unable to address problems	Offender able but unwilling to address problems	No problem; offender is able and willing to address daily living situations

